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The need for a more comprehensive approach to educational planning is obvious in education as projects (a) become more complex, (b) become larger, (c) call for greater allocations of money, and (d) continue for a longer period of time. PACE has served to dramatize the glaring need that exists in United States education for better planning--a need that is not necessarily confined to this nation. There has been some improvement in project quality as a result of the guideline requirements for planning and as a result of several models for planning and evaluation. None of the present models are comprehensive, that is, they do not apply to every conceivably important phase of the project--from its inception to termination. This model is designed to assist all phases of a PACE project. As such, it could be useful for (a) those who write projects, (b) those who operate projects, and (c) those who evaluate projects, both in terms of general improvements and in terms of continuation. (JL)

A

COMPREHENSIVE MODEL

FOR

MANAGING AN ESEA TITLE III PROJECT

FROM

CONCEPTION TO CULMINATION

Report No. 3

of

The Second National Study of PACE

November 10, 1968

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1. Evaluation and "PACE": A Study of Procedures and Effectiveness of Evaluation Sections in Approved PACE Projects with Recommendations for Improvement. February 29, 1968. 270 pp.

2. The Continuation and Strengthening of ESEA Title III. March 4, 1968. 2 pp.

3. A Comprehensive Model for Managing an ESEA Title III Project from Conception to Culmination. November 10, 1968. 90 pp.

4. Analysis and Evaluation of 137 ESEA Title III Planning and Operational Grants. November 15, 1968. 69 pages.

5. The Views of 920 PACE Project Directors. November 20, 1968.

6. PACE: Catalyst for Change: November 29, 1968.

SECOND PACE NATIONAL STUDY

(1967-1968)

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Introduction

This third report of the Second National Study of ESEA Title III has grown out of a need for more comprehensive planning of PACE. Ideally, the effort should have been made two years ago, but we did not know enough then. Hopefully, it will still be of some value.

Responsibility for development of the model rests with the director. Criticism or credit should be his, as the effort was not a group activity of the study team. I would like, however, to express my appreciation to those who did react to the document—and thereby improve it.

This study is sponsored by an ESEA Title III grant to the Center for Effecting Educational Change, Fairfax County, Virginia, which subcontracted the assignment to the University of Kentucky's Research Foundation.

Richard I. Miller
Director of Study
November 10, 1968

A Comprehensive Model for Managing an ESEA Title III Project From Conception to Culmination

The concept of total planning is just making its debut in education, in fact, the techniques for this procedure, growing out of military and industrial needs, are barely ten years old. The need for a more comprehensive approach to educational planning is obvious in education as projects (a) become more complex, (b) become larger, (c) call for greater allocations of money, and (d) continue for a longer period of time.

PACE has served to dramatize the glaring need that exists in United States education for better planning—a need that is not confined to this nation as indicated by a recent publication by the Organization for Economic Cooperation and Development, entitled, OECD and Educational Planning and Development.

Those who have carefully studied ESEA Title III report some improvement in project quality as a result of the guideline requirements for planning and as a result of several models for planning and evaluation.

Most prominent among these models are the "CIPP" Model by

Daniel Stufflebeam,[a/] a systems model by Donald Miller and Operation PEP,[b/] an evaluation model by Robert Hammond,[c/] and a systems analysis for self-evaluation.[d/] These efforts constitute recent and encouraging efforts to bring more systematic planning and evaluation into education.

One might ask: Why yet another model? Perhaps two answers are relevant: (1) We are just beginning to approach PACE in an orderly fashion and therefore all kinds of approaches are necessary in order that further sifting can take place; and (2) none of the present models is comprehensive. In other words, they do not apply to every conceivably important phase of the project—from its inception to termination. Such a comprehensive approach could facilitate more effective operation by:

[a/] Daniel L. Stufflebeam is director of The Evaluation Center at The Ohio State University, and he is special advisor for this national study. Description of CIPP may be obtained by writing him at the Evaluation Center.

[b/] Donald R. Miller is director of Operation PEP, Preparation for Educational Planners, Burlingame, California, and he is a member of the project directors' advisory group for this study. Address: 1870 El Camino Real, Burlingame, California 94010.

[c/] Robert L. Hammond was director of Project EPIC, Evaluative Programs for Innovative Curriculums, Tucson, Arizona, and he is a member of the project directors' advisory group for this study. Address: 1034 East Adams, Tucson, Arizona 85719. Dr. Hammond is now with the Evaluation Center at The Ohio State University.

[d/] Edward J. Ambry, director, The New Jersey State Council for Environment Education, Board of Education, Newark, New Jersey.

1. Assisting all parties concerned with a PACE proposal in tying their efforts together to the total purposes and thrusts of the particular project. These parties are: proposal writers, project operators, project evaluators (inside and outside), and state and federal officials.

2. Assisting those involved most directly in each of the subsequently mentioned segments in systematically considering their tasks.

3. Providing a procedure for evaluating projects that will be more likely to result in self adjustment and improvement by providing useful feedback data.

4. Assisting educators to think more systematically about their concerns.

This model should be considered suggestive rather than prescriptive. The user is asked to consider each variable listed but he should not be expected to find all of them applicable. The variables, however, should serve as reminders of points that may be relevant. One should not view this model as a limitation upon freedom of choice; rather, as an expansion of it. Points raised in this model might not have been considered otherwise and therefore the project director's freedom is increased by having a wider range of alternatives.

The model is composed of five sections, each of which has numerous subsections:

1.0 PROPOSAL DEVELOPMENT (yellow section)
2.0 FIRST YEAR APPRAISAL (blue section)
3.0 SECOND YEAR APPRAISAL (red section)
4.0 THIRD YEAR APPRAISAL (green section)
5.0 FINAL APPRAISAL (white section)

Uses of the Model

This model is designed to assist all phases of a PACE project. As such, it could be useful for (a) those who write projects, (b) those who operate projects, and (c) those who evaluate projects, both in terms of general improvements and in terms of continuation.

Officials who approve and evaluate ongoing projects need a standard against which to make their suggestions and judgments. The first phase—proposal development—should provide this yardstick.

Characteristics of Project

A. Project Characteristics

1. Grant number_____

2. Period of project (first, second, third year) [circle one]

3. Total amount of grant_____

4. ___Non-Federal support_____

5. ___Federal support under Title III_____

6. ___Federal support other than Title III_____

7. Major description of project [check one only]

_____a. Innovative

_____b. Exemplary

_____c. Adaptive

8. Types of activity [check one or more]

_____a. Planning of program

_____b. Planning of construction

_____c. Conducting pilot activities

_____d. Operation of program

_____e. Constructing

_____f. Remodeling

9. Project title [5 words of less]_____

_____

10. State of applicant_____

11. Scope of project /check one only/

_____a. National

_____b. Regional (multi-state)

_____c. One state

_____d. One district

_____e. Multi-district; meaning two to six districts

_____f. Multi-district (or county); meaning seven or more districts within one state

_____g. A few schools within one district

_____h. One school

12. Area served by project /best fit one/

a. Urban

_____(1) central city

_____(2) urban fringe

b. Other urban (suburban)

_____(1) cities of 10,000 or more

_____(2) cities of 2,500 to 10,000

c. Rural

_____(1) places of 1,000 to 2,500

_____(2) other rural

1. PROPOSAL DEVELOPMENT

ESEA Title III projects begin basically in one of two ways: Either the nature of the idea or program is clear and compelling and a systematic needs assessment is not necessary (usually in the case of a single idea or program), or an extensive needs assessment is undertaken to establish priorities and program (usually in the case of a comprehensive or supplementary center—type of project).

Application of the model proposal outlined in this report will be somewhat different in each case. If focus is on a single idea or program, those developing the proposal may want to "plug in" at the . . . 1.4.2.2 (objectives section) skipping over the material on needs assessment.

The proposal development phase (1.) suggests these four major sections and subsections, and in this order: 1.1 task force; 1.2 needs assessment; 1.3 priorities; and 1.4 proposal development.

1.1 Task Force

The first step in a PACE proposal should be formulation of a task force that will serve to assess needs and write the subsequent proposal. This body should be an ad hoc group that may or may not go out of existence when the proposal is either approved or rejected,

depending primarily upon the local situation and the committee's effectiveness. An ad hoc status provides the authorities with some flexibility in this matter.

The following considerations may be relevant to the formation of an effective task force.

1.1.1 What should be the membership?
- 1.1.1.1 Administrators
- 1.1.1.2 Teachers
- 1.1.1.3 Academic scholars
- 1.1.1.4 Professors of education
- 1.1.1.5 Members of the community, including (a) persons broadly representative of the cultural and educational resources of the areas to be served, and (b) persons representative of the interests of potential beneficiaries
- 1.1.1.6 Students
- 1.1.1.7 Other

1.1.2 What tasks should ad hoc group undertake?

1.1.3 Are human and material resources compatible with the chosen parameters?

1.1.4 Is the time allottment realistic in terms of chosen parameters?

1.1.5 What is the anticipated cost?
- 1.1.5.1 Is financial support adequate for the chosen tasks?
- 1.1.5.2 Is adequate money set aside for evaluation?

1.2 Needs Assessment

Many needs assessment are an endless accumulation of statistics with little delineation of the area's basic nature and needs. A successful needs assessment usually is a time consuming and complex task but well worth the effort in terms of providing a basis for

action and for meaningful community participation and support. A needs assessment study might consider this pattern:

1.2.1 Objectives
- 1.2.1.1 What are the objectives of the assessment?
  - 1.2.1.1.1 To determine socio-economic area needs, as viewed by selected audiences.
  - 1.2.1.1.2 To define greater education needs of the area, as viewed by selected audiences.
  - 1.2.1.1.3 To determine where future educational thrusts should be made.
  - 1.2.1.1.4 To determine priorities.
  - 1.2.1.1.5 Other
- 1.2.1.2 Are needs assessment objectives phrased in measurable terms?

1.2.2 Who will determine needs?
- 1.2.2.1 Members of the present staff (who)
- 1.2.2.2 New personnel (where available)
- 1.2.2.3 Special study
- 1.2.2.4 "Outside" consultants
- 1.2.2.5 Members of the community
- 1.2.2.6 Students
- 1.2.2.7 Other

1.2.3 What are the demographic characteristics?
- 1.2.3.1 Population
  - 1.2.3.1.1 Past
  - 1.2.3.1.2 Present
  - 1.2.3.1.3 Future projections
- 1.2.3.2 Race distribution
- 1.2.3.3. Age distribution
- 1.2.3.4 Sex distribution
- 1.2.3.5 Employment breakdown
  - 1.2.3.5.1 Professional
  - 1.2.3.5.2 Managerial
  - 1.2.3.5.3 Clerical
  - 1.2.3.5.4 Sales
  - 1.2.3.5.5 Craftsmen
  - 1.2.3.5.6 Operatives
  - 1.2.3.5.7 Service

1.2.3.5.8 Farmers
1.2.3.5.9 Laborers, except farm, but including private household help

1.2.4 What resources in the area may be relevant?
- 1.2.4.1 Human
  - 1.2.4.1.1 Specialists
  - 1.2.4.1.2 Consultants
  - 1.2.4.1.3 Other
- 1.2.4.2 Material
  - 1.2.4.2.1 Natural
  - 1.2.4.2.2 Buildings
  - 1.2.4.2.3 Equipment
  - 1.2.4.2.4 Other
- 1.2.4.3 Financial
  - 1.2.4.3.1 Business and industry
  - 1.2.4.3.2 Labor
  - 1.2.4.3.3 Private philanthropy
  - 1.2.4.3.4 Other

1.2.5 What are the educational patterns?
- 1.2.5.1 What student achievement measures, such as I.Q. and other measurements, are used?
- 1.2.5.2 What is the socio-economic class structure of school system?
- 1.2.5.3 What is the composition of student body?
- 1.2.5.4 What are the teacher salaries?
- 1.2.5.5 What is the teacher turnover?
- 1.2.5.6 Are the high school courses related to the occupation makeup of the area?
- 1.2.5.7 Are the high school courses related realistically to projected occupational and growth patterns for the area?
- 1.2.5.8 How do the schools "rate" with others in the state? Do you have criteria for making such judgment?
- 1.2.5.9 What general evidences of progressiveness are evident in the school system?
- 1.2.5.10 Have innovations (new programs) been introduced recently in the regular subjects, in individualization, in instruction, and/or in organization (e.g., non-gradedness, team teaching)?

1.2.6 What evaluation is planned for needs assessment?

1.2.6.1 Who is to evaluate?

1.2.6.2 By using:

- 1.2.6.2.1 Anecdotal report
- 1.2.6.2.2 Checklist
- 1.2.6.2.3 Outside experts
- 1.2.6.2.4 Locally made tests
- 1.2.6.2.5 Standardized tests
- 1.2.6.2.6 Rating scales
- 1.2.6.2.7 Questionnaire
- 1.2.6.2.8 Research design (such as using pre-test and post-test)
- 1.2.6.2.9 Other evidences

1.3 Priorities

The needs assessment study should produce a relatively small number of activities that have been found to be most important for schools in the region. At this point formal action should be taken on the priorities by the board of education or some other legally designated body. The staff will need to have data available on a number of items. These questions might assist in the selection process.

1.3.1 Of the identified needs, which ones have the greatest potential for your situation?

1.3.2 What priorities will strike most directly at greatest needs?

1.3.3 Are the priorities realistic in terms of state and national priorities?

1.3.4 Are the priorities manageable in terms of time, resources, personnel that likely will be available?

1.4 Proposal Development

A plan for developing and writing the proposal should be charted at this time. Individuals on the needs assessment task force might be

used in the next steps—or perhaps different skills are needed. Time, personnel, and resources should be considered in developing the strategy for proposal development.

1.4.1 A Plan for Proceeding

At this point a general overview of the task of proposal development should be undertaken. Those who are "old hands" at proposal development realize the importance of careful consideration of a number of points at this time.

1.4.1.1 How much time—working time—is available for the proposal development?
1.4.1.2 What tasks need to be done?
1.4.1.3 Who should do them?
1.4.1.4 How much money will be needed?

1.4.2 Contents of Proposal

Proposal writers are caught in a perennial dilemma: How can the proposal have sufficient detail and organization yet not bind future operations to prenatal planning? The dilemma, however, can be solved. The proposal should reflect a systematic approach, but all parties concerned should recognize the great probability that modifications will be needed as the proposal moves from words to action. Indeed, it is desirable that evaluative procedures take cognizance of the high probability of modifications.

It seems reasonable to expect proposals to follow a systematic approach in describing what is being planned thereby providing a yardstick against which evaluations can be made. The

following components are suggested as relevant to such a systematic approach:

1.4.2.1 Background

This section relies primarily upon data from the needs assessment study as well as other data about the community. If a needs assessment has not been made, then several points raised in that section (1.2) would be relevant here.

1.4.2.1.1 Is background data relevant to the proposal?
1.4.2.1.2 Is data recent and accurate?
1.4.2.1.3 If "needs assessment" data is used, are priorities spelled out with sufficient specificity for program development?

1.4.2.2 Objectives

Objectives are destinations—the targets—and they need to be determined at both general and specific levels. General objectives are about as far as most proposals go, but this is only one stage. The next stage—specific objectives—forces the applicant to say what the gains are sought in terms that can be measured or assessed. The objectives, then, become the measures against which program progress is appraised. Objectives - program - evaluation (basic components of a system analysis approach) become the basic components of the proposal and of all subsequent development. For this reason the careful formulation of objectives is essential.

1.4.2.2.1 What are the general objectives?

1.4.2.2.2 What are the specific objectives?

1.4.2.2.2.1 Do programs grow out of the objectives?

1.4.2.2.2.2 Are objectives stated in terms that will allow measurement of progress toward them?

1.4.2.2.3 A final objective of most PACE projects is improving education for individual children and youth, which means bringing about some positive change in knowledge, skills, and/or values of children and youth. Such projects are remiss in their evaluation if some systematic procedure—simple or complex—is not developed to measure impact upon children and youth in the target area. To this end, some specific student objectives, and accompanying measurement devices, may be suggested by these questions.

. . 1.4.2.2.3.1 Are positive changes in knowledge, skills and/or youth important objectives? (Are these objectives stated in terms that can be measured?)

. . .

1.4.2.2.3.2 What measurement devices are proposed for judging each student-pointed objective?

1.4.2.3 Programs

This section spells out what program or programs the project will seek to accomplish, and it is usually the most extensive part of the proposal.

1.4.2.3.1 What programs are planned?
- 1.4.2.3.1.1 Are they stated in clear and concise language, so that the "uninitiated" can understand them?
- 1.4.2.3.1.2 Does the proposal attempt to do too much, assuming that the designers want to do only as much as they can do well?

1.4.2.3.2 Were existing school curricula and programs reviewed in developing the project's program?

1.4.2.3.3 Are the programs manageable in terms of:
- 1.4.2.3.3.1 Time allocations for each segment?
- 1.4.2.3.3.2 Personnel needed?
- 1.4.2.3.3.3 Resources needed to do the job properly?

1.4.2.3.4 Are programs specifically related to objectives?

1.4.2.3.5 What procedures and techniques of communication and dissemination have been considered, not in terms of expected results of project but in terms of mustering support for the program? (See subsection on dissemination in the section on "project operation.")

1.4.2.4 Demonstration

Is project or program really worth demonstrating? Is it the kind of activity that lends itself to demonstration? Sometimes too little thought goes into what should be demonstrated—and how. Also, sometimes little attention is given to what effects the demonstration will have upon children in the demonstration unit. But demonstration, properly conducted, remains a dynamic factor in the change process.

1.4.2.4.1 What will be demonstrated?

1.4.2.4.1.1 By whom?

1.4.2.4.2 Is demonstration the best way of dissemination in your instance?

1.4.2.4.3 How will the demonstration be conducted?

1.4.2.4.4 What will be the cost?

1.4.2.4.5 How will the effects be evaluated?

1.4.2.5 Dissemination

Dissemination, in the simplest terms, is the spreading of an idea. Unfortunately, too little serious attention has

been given to this important link in the change process. Many PACE projects might well reconsider their approach to dissemination, and at three levels: (1) in terms of initial communication about the project—a general informing; (2) some occasional or regular medium for specific informing; and (3) in terms of disseminating results of completed projects in a manner that will facilitate their implication in other schools. The first and second types of dissemination occur very shortly after the project becomes operational, and the third becomes relevant when something is achieved.

All dissemination should follow some orderly approach, but the proposal at this <u>developmental</u> stage should not be expected to go into much detail. This will come later when the project becomes <u>operational</u>.

In the initial proposal, one can expect some evidences of thinking about priorities-objectives-strategies-evaluation of dissemination.

1.4.2.5.1 What kinds of dissemination should be employed for your project, and for what audiences? The following grid might be helpful in pinpointing some of these concerns.

1.4.2.5.2 What information should be sent?

1.4.2.5.3 What are the intended results from sending this information?

- 1.4.2.5.3.1 In terms of your program?
- 1.4.2.5.3.2 In terms of target audience?

Audiences

Board of Education
Colleges and Universities
Community
Local Administrative Staff
PACE Controlling Board
Project Staff
Specializing Groups
State Department of Education
Students
Teachers

Mediums

Informal Meetings	In-service Programs	Newspaper	Radio	Regular Meetings	Regular Newsletter	Special Bulletins (Memos)	Special Stories	Television

1.4.2.5.4 How much time will be required?

1.4.2.5.5 How much money will be required?

1.4.2.5.6 What personnel will be required?

1.4.2.5.7 Evaluation? One of several procedures should be employed to determine whether the dissemination has achieved stated objectives for target audiences.

- 1.4.2.5.7.1 Survey (questionnaire)
- 1.4.2.5.7.2 Interview
- 1.4.2.5.7.3 Unsolicited feedback (e.g., letters, telephone calls, mass media news, informal comments)

1.4.2.5.7.4 Research design
1.4.2.5.7.5 Other

1.4.2.5.8 Is a system proposed for cataloging, interpreting and distributing information to be developed in the project?

1.4.2.5.9 In judging content, the following criteria might be useful:
1.4.2.5.9.1 Clarity
1.4.2.5.9.2 Validity
1.4.2.5.9.3 Pervasiveness
1.4.2.5.9.4 Impact
1.4.2.5.9.5 Timeliness
1.4.2.5.9.6 Practicality

1.4.2.6 Implementation

Implementation is moving an idea into action through the use of planned strategy. It is, in essence, the "payoff," and it does not just happen—at least not ordinarily so.

Educators tend to have three myths about implementation: (1) A good product will market itself, which is nonesense. Any industrial firm knows that a good project is a starting point, but a strong marketing function is essential also; (2) Everyone should be involved or at least give their blessing. This condition is idealistic and usually unobtainable. Implementation should be attempted first with the converted. This group usually is challenge enough. (With some innovations, such as nongradedness, it may be necessary to have involved all teachers in a particular unit;) (3) Implementation of an idea or program requires little follow-up. We have a myth of perfectability, believing that introduction of the innovation is the thing.

Quite to the contrary, a "service department function" is vital to the continued growth and success of most innovations.

Many strategies for implementing ideas are available.[a/] The purpose in this section is not to outline or to favor any one strategy; rather, to help PACE projects think through some aspects that are common to most strategies for successful implementation. Again, as with dissemination, the proposal should not be expected to offer a detailed model for implementation, rather, one should expect evidences that implementation will be given adequate attention as the project develops. The following questions may help in more careful consideration of implementation:

1.4.2.6.1 Is the idea or program (innovation) exportable as it is, or must special adaptations be made?

1.4.2.6.2 Is a timetable (plan) for exportation (implementation) of the idea developed?

1.4.2.6.2.1 Will a "service" function be provided if expert advice may be needed? (e.g., in terms of programmed instruction, nongradedness)

[a/] Several strategies are listed in A Multidisciplinary Focus on Educational Change, (Richard I. Miller, editor). Lexington, Kentucky: Bureau of School Services, University of Kentucky, 1964, p. 84.

1.4.2.6.3 Are recipient audiences carefully selected?

1.4.2.6.4 Who will serve as "change agents"—those most directly involved in bridging the gap between theory and action?

1.4.2.7 Terminal considerations

After three years of Federal funding, it appears at this writing that PACE projects will fold their tents and silently steal away. But let us hope that this is not the case, unless of course the project is not worth continuing—and there should be a few of these.

Many projects, as they look now after two years of operation, are worthy of continuation. Since securing funds for continuation will not be an easy task in most cases, it is essential that planning for other funding should be initiated not later than the second year.

Possibly one of the best ways of insuring PACE program continuity beyond Title III fund availability is to systematically structure the program activity into the regular district activity so that the program's clientele over the three years become so dependent upon the PACE thrust that prospects of its fund cutoff will help marshall other resources for its continuation. Some techniques for this systematic structuring are discussed in this paper, such as relationships, implementation, demonstration, and dissemination.

Proposals should not be expected to give

evidence of more than passing interest in terminal considerations, but the first year appraisal should demonstrate consideration of the matter.

1.4.2.8 Management

The proposal should contain fairly detailed information about what kinds of personnel will be required, their job descriptions, and the overall chain of authority for the project—the line and staff structure.

1.4.2.8.1 What special skills will be needed for the project?

1.4.2.8.1.1 Are fairly specific job descriptions available for these positions? (The key here is "fairly specific." Job descriptions should not become ends in themselves but means to develop a balanced staff. And sometimes an outstanding person does not fit any job description.)

1.4.2.8.2 Do characteristics such as creative, innovative, open-minded, optimistic, intelligent, persevering, and humanly sensitive stand out in your search for personnel?

1.4.2.8.3 Are provisions made for staff growth through in-service training and other means?

1.4.2.8.3.1 Is budget allocated for this?

1.4.2.8.4 What instrument or procedures are planned for personnel evaluation?

1.4.2.8.5 What will be the organizational chart for the line and staff relationship between these positions?

1.4.2.8.6 What procedures are provided for intrastaff communications?

1.4.2.8.7 What technique or procedure is employed to plan for the most effective use of time, resources, and personnel over a period of time? (It may be a simple procedure, such as a series of checkpoints at which thorough review will be made of progress, problems, and priorities; or it may be a more complicated technique such as PERT or the Critical Path.)

1.4.2.8.8 Is adequate fiscal assistance for management functions provided in the project? (Many projects have underestimated the amount of time required to keep abreast with regulations, red tape, and requisitions.)

1.4.2.8.9 Is an organizational chart developed?

1.4.2.9 Relationships

Every proposal should contain fairly specific information about both internal (teachers and administrators) and external (community) relationships. Probably more PACE projects fail because of inadequate or poor relationships than from any other cause. This situation arises from a general lack of experience with proposal development. The tendency is to involve too many people in a

superficial way, laying the ground work for adverse reactions later.

A number of questions should be raised:

1.4.2.9.1 Who must be involved for the sake of support?

1.4.2.9.2 What is the purpose of any particular involvement?

1.4.2.9.3 How should the individual, group, or organization be involved?

1.4.2.9.3.1 Is the involvement busy work, or does it have potential relevance?

1.4.2.9.4 When should the involvement take place? initially or throughout, and on a sporadic or regular basis?

1.4.2.9.5 Why is a particular involvement necessary?

1.4.2.9.6 What evaluation procedures are planned to determine whether the various involvements are accomplishing their objectives?

1.4.2.9.7 Is some sort of advisory committee operative? (Periodic reporting and interacting with a carefully selected advisory committee can be most helpful to the project. Such a group can help prevent drifts toward failure as well as serve as a sounding board. The legally designated controlling board normally will not be as concerned with program development as the advisory group.)

1.4.2.10 Budget

Budgets traditionally are placed at the end of proposals—although in practice the budget might be the first

consideration. And certainly budget considerations do permeate all phases of proposal development.

The effectiveness of fiscal policies needs to be evaluated regularly, with subsequent adjustments of policy to meet the fiscal needs of the program as they are influenced by change in the financial structure and by changes in source and availability of funds.

A number of strategies are developed with respect to "padding" budgets, and one can assume that some individuals are more clever at it than others, but generally speaking the budget should reflect what is essential for the program, with perhaps five percent leeway for contingencies.

1.4.2.10.1 Are standard bookkeeping procedures to be used?
1.4.2.10.2 Is the budget adequate to carry through the program?
1.4.2.10.3 Are local and state fiscal procedures thoroughly understood?
1.4.2.10.4 Will funds be available for auditing financial records?
1.4.2.10.5 Have the possibilities of securing monies other than ESEA Title III been considered?
1.4.2.10.5.1 ESEA Title I
1.4.2.10.5.2 ESEA Title II
1.4.2.10.5.3 ESEA Title IV
1.4.2.10.5.4 Foundations
1.4.2.10.5.5 Private donors
1.4.2.10.5.6 Other

1.4.2.11 Facilities, equipment, and materials

Careful consideration needs to be given to facilities, equipment, and materials—not only in terms of cost, but

in terms of style, convenience, and appropriateness.

1.4.2.11.1 What are basic facility needs for the project?

1.4.2.11.2 Are these available when needed?

1.4.2.11.3 If not, can rennovations be made?

1.4.2.11.4 Have costs been checked out carefully, including costs of alternative plans?

1.4.2.11.5 Does the proposal request adequate materials and supplies?

1.4.2.11.5.1 Are sufficient funds available for these?

1.4.2.11.5.2 What procedures will be used to select materials and supplies?

1.4.2.11.5.3 Will maintenance funds be available?

1.4.2.11.6 Will adequate lead time be given in placing the order?

1.4.2.11.7 Does the project proposal give reasonable attention to an efficient method for scheduling project personnel and students for use of available facilities and equipment?

1.4.2.12 Evaluation

Evaluation procedures should be related specifically to each program and to the objectives. Many educators still are mentally encased in traditional concepts of evaluation, such as pre- and post-tests, which do remain legitimate evaluative procedures for certain kinds of programs. Interviews, case studies, and

surveys are other examples of equally legitimate kinds of evaluative procedures. In other words, the methods of evaluation should suit the program and not vice-versa.

1.4.2.12.1 Does the amount budgeted for evaluation account for a minimum of five percent of the overall budget? (Some individuals frown upon a specific figure, and with good reason; however, the value of a specific figure lies in providing a minimal yardstick. Considering the overall picture, most benefits stand to be gained than lost from a specific figure.)

1.4.2.12.2 Is evaluation planned in an imaginative way?

1.4.2.12.3 Which evaluative procedures are most appropriate?

- 1.4.2.12.3.1 Anecdotal report
- 1.4.2.12.3.2 Checklist
- 1.4.2.12.3.3 Outside experts
- 1.4.2.12.3.4 Standardized tests
- 1.4.2.12.3.5 Rating scales
- 1.4.2.12.3.6 Questionnaire
- 1.4.2.12.3.7 Research design (such as using pre-test and post-test)
- 1.4.2.12.3.8 Opinion
- 1.4.2.12.3.9 Other evidences (e.g., willingness of schools to participate, to take over funding)

1.4.2.12.4 What procedures or methods can be established for informal feedback on a more or less continuous basis? (This procedure might involve a few key

individuals who serve as "eyes" and "ears;" they know the community very well and can spot trouble at the onset. The advisory committee might be useful here.)

1.4.2.12.5 Is evaluation in terms of how well the program is meeting its objectives?

Irrespective of which evaluative procedure is used, the data should have those features commonly associated with good information.[a/] Four features suggested here:

1. Internal validity. There should be a good, if not a one-for-one relationship, between the information and the phenomena it represents.

2. External validity. Do the data apply only to the subjects from whom they were gathered, or may they be taken as representing what one might find if the evaluation were repeated elsewhere? In other words, under what circumstances are the evaluation data generalizable? Considerations of generalizability have to do not only with whether or not the sample from which they were gathered was representative of some population, but they are also related to questions of physical arrangements, kinds of teachers, conditions under which data are collected, and so forth.

3. Reliability. This criterion refers to the internal

[a/] This section is based upon work by Egon Guba.

consistency of the information. If it were gathered again, would the same findings be found?

4. Objectivity. Is the evaluation based upon private evidence, such as the opinions of teachers, which, while perhaps replicable and therefore reliable, might not be in agreement with what would be found by an independent observer? Are the instruments used capable of similar interpretation by different but equally competent to judge agree on the meaning of the data? Objectivity is relating the answers to such questions.

1.4.2.13 Assurances

The assurances constitute the various legal authorizations that provide the proposal with an official status.

2. FIRST YEAR APPRAISAL

With proposal approval the project becomes operational, and the initial proposal should serve as a roadmap for the journey toward intended accomplishments.

At this point the staff basically may have, at the extreme, one of two experiences: Either the roadmap—the initial proposal—is reliable and useful, or it is the voice of Christmas past. The latter alternative may be the result of (1) developing a proposal with funding as the primary objective; (2) developing a poor proposal; (3) having weak project personnel; or (4) finding that new circumstances and/or factors have come upon the scene that were not anticipated when the proposal was developed.

Six-Month's Report

To deal with the possibility of some, or considerable, change in the project's nature and direction, a mid-year checkpoint—a self-assessment—is suggested for every project. (See page 32.) The following procedure is suggested as a method of bringing project development into manageable perspective at the mid-year checkpoint.

On one large sheet, a "gestalt" of the entire program should be developed. This overview can be quite helpful in providing perspective for the staff as well as others.

FIRST YEAR: SIX-MONTH REPORT

Specific Objectives (2.2)	Programs Related to Objectives (2.3)	Evaluation Procedures (2.12)	Accomplishments (2.3.3)	Weaknesses (2.3.3)	Revised Objectives
O_1	P_1	E_1	A_1		RO_1
	P_1	E_1	A_1		
	P_1	E_1		W_1	

O_2	P_2	E_2	A_2	W_2	RO_2
	etc.	etc.	etc.	etc.	etc.

O = objectives
P = programs
E = evaluation procedures
A = accomplishments
W = weaknesses
RO = revised objectives

First Year Appraisal

A careful appraisal should be made at the end of the first year, from two perspectives: (1) a self-appraisal by the project's staff, and (2) an appraisal by an outside group. The results of these two appraisals then should be considered by the state ESEA Title III coordinator in developing his recommendations for the state advisory council.

The same instrument should be used for both internal and external appraisals. The external appraisal group should make its evaluations independent of what the staff has done.

The following two procedures are suggested for bringing the project into manageable perspective at the end of the first year. It is similar to the procedure recommended for the mid-year evaluation. The same schematic "gestalt" one-page picture suggested for mid-year should be used for the first year appraisal.

In addition to the schematic presentation outlined, which follows, an appraisal in terms of the same categories that were developed in the initial proposal is recommended: These categories are:

2.1 Background (needs)
2.2 Objectives
2.3 Programs
2.4 Demonstration
2.5 Dissemination
2.6 Implementation
2.7 Terminal considerations
2.8 Management
2.9 Relationships

FIRST YEAR: END OF YEAR REPORT

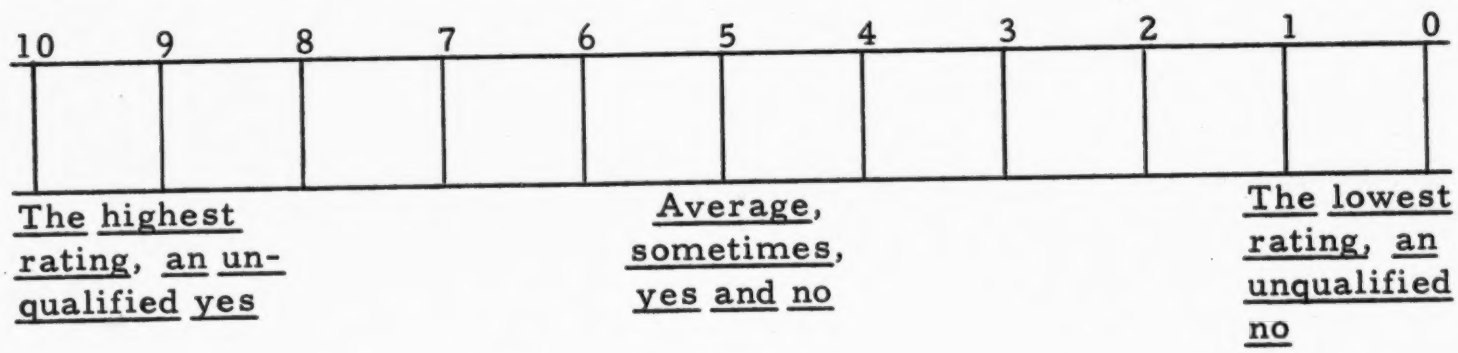
Specific Objectives (2.2)	Programs Related to Objectives (2.3)	Evaluation Procedures (2.12)	Accomplishments (2.3.3)	Weaknesses (2.3.3)	Revised Objectives
O_1	P_1	E_1	A_1		
	P_1	E_1	A_1	W_1	
	P_1	E_1			RO_1

O_2	P_2	E_2	A_2	W_2	RO_2

2.10 Budget
2.11 Facilities, equipment, and materials
2.12 Evaluation

Appraisal of the ongoing program in terms of initial objectives and program operation is possible using this procedure. Some caution should be exercised, however, in terms of expecting a one-for-one relationship. Indeed, it is reasonable, and in many cases desirable, to expect considerable deviation from project objectives to project operation. These variations should not be ignored or glossed over because analyses of these differences can provide useful insights into project directions, allocations of time and personnel, and accomplishments.

Rating scale: Also, a rating scale is suggested for many of the items. This scale would be a ten-point continuum:



The evaluator should use whatever number—from 10 to 0—that best describes how well he believes the project is accomplishing the point being judged.

2.1 Background

___ 2.1.1 To what extent is background material developed for the initial proposal adequate or inadequate? (The blank space is an invitation to rate the item using the ten-point scale mentioned above.)

___ 2.1.2 To what extent is new background needed?

2.1.2.1 What new evidences are needed?

_____

_____

_____

_____

2.2 Objectives

2.2.1 What objectives were developed in the initial proposal?

_____

_____

_____

_____

_____

_____

_____

2.2.2 To what extent are the objectives developed in the initial proposal still appropriate? [check one]

_____very much so
_____much
_____somewhat
_____little
_____very little relationship

___ 2.2.3 Is reasonable progress being made toward stated objectives?

2.2.3.1 What evaluative devices are used to determine this progress?_____

_____

_____

_____

2.2.3.1.1 Are these satisfactory?_____

_____

2.3 Programs

2.3.1 Are programs developing as envisaged in the initial proposal? (This question should not be interpreted as favoring a close relationship between programs given in the proposal and those that have developed during the operation.) [check one]

_____very much so
_____much
_____somewhat
_____little
_____very little relationship

2.3.2 Are new programs needed now, as a result of operational experience? ___yes ___no ___perhaps

2.3.2.1 If "yes," what are the needs?_____

_____

_____

_____

_____

_____

2.3.3 How would you rate at this time various program thrusts? (The rating might include (a) in terms of general and/or specific effectiveness, (b) comparisons with other PACE projects, and (c) the general opinion of the program.)

___ 2.3.3.1 Overall program
___ 2.3.3.2 Specific program (name)_____
___ 2.3.3.3 Specific program (name)_____
___ 2.3.3.4 Etc.

2.4 Demonstration (only if applicable to your project)

___ 2.4.1 Are the purposes of the demonstration compatible with objectives of the project?

___ 2.4.2 Is it evident that serious thought has been given to demonstration?

___ 2.4.3. Are procedures established for screening prospective visitors into at least three categories: the casual observer, the interested educator (teacher), and the specialist in the program or process being demonstrated?

___ 2.4.4. Are there adequate safeguards against overexposure of children to visitors?

___ 2.4.5 Are teacher and school officials protected against excessive use of time for visitors?

___ 2.4.6 Have ways been developed to use reactions of visitors to improve the program?

2.5 Dissemination

___ 2.5.1 To what extent has an effective system been established for cataloging, interpreting and distributing information developed in the project?

2.5.1.1 What changes are suggested? _____

_____

_____

_____

_____

_____

2.5.2 Appraisal grid: By the end of the first six months and certainly by the end of the first year, a systematic appraisal of dissemination is in order—one that methodically appraised audiences, media, and impact. Place in each square the number—10 to 0—that best represents the degree of success in dissemination. Where the category is not applicable, place an "X."

Audiences

Board of Education
Colleges and Universities
Community
Local Administrative Staff
PACE Controlling Board
Project Staff
Specializing Groups
State Department of Education
Students
Teachers

Mediums

	Informal Meetings	In-service Programs	Newspapers	Radio	Regular Meetings	Regular Newsletter	Special Bulletins (Memos)	Special Stories	Television

2.5.3 Where are the strong points in dissemination? _____

_____

_____

_____

_____

Why? _____

_____

_____

2.5.4 Where are the weak points?_____

_____

_____

_____

_____

Why?_____

_____

_____

2.5.5 What changes, if any, would seem in order?_____

_____

_____

_____

_____

_____

_____

2.5.6 Using the ten-point scale, judge the content of what is disseminated in terms of:

___ 2.5.6.1 Clarity
___ 2.5.6.2 Validity
___ 2.5.6.3 Pervasiveness
___ 2.5.6.4 Impact
___ 2.5.6.5 Timeliness
___ 2.5.6.6 Practicality

See Pace Manual for Project Applicants and Grantees, Chapter Six, for explanation of these terms.

2.5.7 What adjustments are needed for more effective dissemination, in terms of:

2.5.7.1 Time_____

_____

2.5.7.2 Money_____

_____

2.5.7.3 Personnel_____

_____

2.5 7.4 Objectives_____

_____

2.6 Implementation

This criteria applies only if implementation is a thrust of the project. PACE programs featuring development, for example, should be expected to have quite a different approach to implementation from those focusing on moving a project from development to action.

2.6.1 What are the objectives of implementation?_____

_____

_____

_____

_____

___ 2.6.2 How do you rate general progress towards these objectives?_____

_____

_____

2.6.3 What adjustments need to be made to improve implementation? (reminder checklist; not for rating.)

___ 2.6.3.1 No adjustment necessary; on target
___ 2.6.3.2 Move more slowly
___ 2.6.3.3 Move more rapidly
___ 2.6.3.4 Need additional personnel
___ 2.6 3.5 Need additional or different personnel skills
___ 2.6.3.6 Need additional conceptual skills (ideas)

___ 2.6.3.7 Need to consider target audiences more carefully

___ 2.6.3.8 Other

2.7 Terminal considerations

Considerations should be given to terminal considerations at the end of the first year. And the word "creative" should typify this effort.

___ 2.7.1 To what extent are there evidences that the project staff is giving creative considerations to what happens when grant support ends? _____

_____

_____

2.7.2 To what extent is planning evident that may facilitate continuation through other funding? (reminder checklist; not for rating.)

___ 2.7.2.1 Philanthropic foundations

___ 2.7.2.2 Local school district

___ 2.7.2.3 State Department

___ 2.7.2.4 Other federal agency

___ 2.7.2.5 Private industry

___ 2.7.2.6 Other

2.8 Management

___ 2.8.1 Have initial and/or revised job descriptions proven adequate?

2.8.1.1 If not, would revision be useful in terms of time required? _____

_____

_____

___ 2.8.2 To what degree are staff members familiar with their individual responsibilities in the overall program?____

_____

_____

___ 2.8.3 To what extent would terms such as creative, innovative, open-minded, optimistic, intelligent, persevering, and humanly sensitive tend to characterize the project personnel?_____

_____

_____

___ 2.8.4 How effective are procedures for project personnel evaluation?

2.8.4.1 What improvements might be in order?_____

_____

_____

2.8.5 What new personnel needs have arisen?_____

_____

_____

2.8.5.1 What steps can be taken to meet these needs?

_____

_____

___ 2.8.6 Are procedures for intrastaff communications adequate?

2.8.6.1 If rating is low, what modifications should be made?_____

_____

_____

___ 2.8.7 Are the planning techniques or procedures, such as PERT, checkpoints, etc., being used to assist in the most effective use of time, resources, and personnel?
2.8.7.1 If rating is low, what can be done?_____

_____

_____

___ 2.8.8 Are adequate personnel and resources allocated for management functions?
2.8.8.1 If rating is low, what changes might be helpful?_____

_____

_____

___ 2.8.9 To what extent have staff in-service opportunities been available? (This would include conferences, meetings, workshops, etc.)_____

_____

_____

_____

___ 2.8.10 Assuming an organizational chart exists, to what extent is it adequate?_____

_____

_____

_____

_____

2.9 Relationships

2.9.1 In general, how would you judge relationships between the project staff and the following groups? (Use the ten-point rating scale.)

___ 2.9.1.1 School officials
___ 2.9.1.2 Teachers
___ 2.9.1.3 Students

___ 2.9.1.4 School Board
___ 2.9.1.5 Community at large
___ 2.9.1.6 State Department of Education
___ 2.9.1.7 Adjacent school district
___ 2.9.1.8 Mass media
___ 2.9.1.9 Universities and colleges
___ 2.9.1.10 Other

2.9.2 What evaluative procedures are used to make determinations made in 2.9.1?_____

_____

_____

2.9.3 Which groups listed in 2.9.1 have received most project time and resources?_____

_____

_____

2.9.3.1 Should this allocation be changed? ___yes ___no ___perhaps

2.9.3.1.1 If so, what strategy should be used in making the change?___

_____

_____

_____

_____

_____

_____

_____

2.9.4 If change is desirable, which groups should receive more attention?

2.9.4.1 Why?_____

_____

_____

___ 2.9.5 How are <u>intrastaff</u> relationships rated? _____

_____

_____

___ 2.9.6 How effective are <u>interstaff</u> relationships—those between the PACE staff and the school system's staff? ___

_____

_____

2.10 <u>Budget</u>

___ 2.10.1 Are clear records kept both by the district and the project? _____

_____

___ 2.10.1.1 Is sufficient personnel allocated to this task? _____

_____

___ 2.10.2 Are bookkeeping procedures adequate? _____

_____

_____

_____

___ 2.10.3 Are programs realistically adjusted to budget?

___ 2.10.4 Has an audit been made or is it scheduled?

___ 2.10.5 Are budget records kept up-to-date?

___ 2.10.6 Is record-keeping achieved without undue friction?

___ 2.10.7 Are revisions in order following the first year?
___yes ___no ___perhaps
2.10.7.1 If revisions are needed, what?_____

_____

_____

_____

_____

_____

2.11 Facilities, equipment, and materials

___ 2.11.1 How adequate are basic facilities in terms of the project's needs?

___ 2.11.2 Are facilities convenient in terms of primary liaisons for the project?

___ 2.11.3 How appropriate are the basic project facilities in terms of style, decor, and furnishings?

___ 2.11.4 How would you rate the quality of the materials selected in terms of how they were used?

___ 2.11.5 Were deliveries made on time?

___ 2.11.6 Were maintenance funds adequate?

___ 2.11.7 Does the project have an efficient method for scheduling project personnel and students for use of available facilities and equipment?

___ 2.11.8 What improvements should be made in facilities, equipment, and materials for the second year?

2.12 Evaluation

___ 2.12.1 Are there evidences that the PACE staff has paid serious attention to evaluation?_____

_____

___ 2.12.2 Is evaluation an integral part of the project?_____

_____

_____

___ 2.12.3 To what extent are evaluative procedures chosen in terms of the types of programs to be evaluated? (A low score would indicate that those evaluative procedures being used are inappropriate for what is being evaluated.)_____

_____

_____

2.12.4 How appropriate are the data in terms of:

2.12.4.1 Internal validity
2.12.4.2 External validity
2.12.4.3 Reliability
2.12.4.4 Objectivity

For explanations of these terms, see evaluation section (1.4.2.12.)

2.12.5 Is a budget item visible for evaluation, or is it necessary to scrape together several odds-and-ends to "prove" an evaluation sincerity?

_____visible
_____"odds-and-ends" accumulation

2.12.6 Are evaluation procedures employed related to those outlined in the initial proposal? ___yes ___no
___somewhat

2.12.6.1 If different, why?_____

_____

_____

___ 2.12.7 Is evaluation effectively related to program improvement?_____

_____

_____

_____

___ 2.12.2 Is evaluation an integral part of the project?_____

_____

_____

___ 2.12.3 To what extent are evaluative procedures chosen in terms of the types of programs to be evaluated? (A low score would indicate that those evaluative procedures being used are inappropriate for what is being evaluated.)_____

_____

_____

2.12.4 How appropriate are the data in terms of:

2.12.4.1 Internal validity
2.12.4.2 External validity
2.12.4.3 Reliability
2.12.4.4 Objectivity

For explanations of these terms, see evaluation section (1.4.2.12)

2.12.5 Is a budget item visible for evaluation, or is it necessary to scrape together several odds-and-ends to "prove" an evaluation sincerity?

_____visible
_____"odds-and-ends" accumulation

2.12.6 Are evaluation procedures employed related to those outlined in the initial proposal? ___yes ___no ___somewhat

2.12.6.1 If different, why?_____

_____

_____

___ 2.12.7 Is evaluation effectively related to program improvement?_____

_____

_____

_____

___ 2.12.8 What is the overall evaluation of the effectiveness of the evaluative procedures? _____

_____

_____

3. SECOND YEAR APPRAISAL

The second year should find the project in full stride. In terms of operation, most projects should be shifting attention to emphasis from background, objectives, management, and budget to programs, relationships, demonstration, dissemination, implementation, and terminal considerations. We are talking about degrees of emphasis or a shift rather than a drastic change since most all phases are important throughout the life of the project. Evaluation as feedback and guide is important throughout the project, but at the end of two years evaluation as judgment should take on increased importance.

The instrument suggested for the second mid-year checkpoint and for the end of the second year is essentially the same one proposed for the first year. In this way, the self evaluation as well as the outside evaluation can have continuity.

Six-Month's Report

To deal with the possibility of some, or considerable, change in the project's nature and direction, a mid-year checkpoint—a self-assessment—is suggested for every project. (See page 51.) The following procedure is suggested as a method of bringing project development into manageable perspective at the mid-year checkpoint.

SECOND YEAR: SIX-MONTH APPRAISAL

Specific Objectives (3.2)	Programs Related to Objectives (3.3)	Evaluation Procedures (3.12)	Accomplishments (3.3.3)	Weaknesses (3.3.3)	Revised Objectives
O_1	P_1	E_1	A_1		RO_1
	P_1	E_1	A_1		
	P_1	E_1		W_1	

O_2	P_2	E_2	A_2	W_2	RO_2
	etc.	etc.	etc.	etc.	etc.

O = objectives
P = programs
E = evaluation procedures
A = accomplishments
W = weaknesses
RO = revised objectives

On one large sheet, a "gestalt" of the entire program should be developed. This overview can be quite helpful in providing perspective for the staff as well as others.

Second Year Appraisal

A careful appraisal should be made at the end of the first year, from two perspectives: (1) a self-appraisal by the project's staff, and (2) an appraisal by an outside group. The results of these two appraisals then should be considered by the state ESEA Title III coordinator in developing his recommendations for the state advisory council.

The same instrument should be used for both internal and external appraisals. The external appraisal group should make its evaluations independent of what the staff has done.

The following two procedures are suggested for bringing the project into manageable perspective at the end of the second year. It is similar to the procedure recommended for the mid-year evaluation. The same schematic "gestalt" one-page picture suggested for mid-year should be used for the second year appraisal.

In addition to the schematic presentation just outlined, an appraisal in terms of the same categories that were developed in the initial proposal is recommended: These categories are:

3.1 Background (needs)
3.2 Objectives
3.3 Programs
3.4 Demonstration
3.5 Dissemination

SECOND YEAR: END OF YEAR REPORT

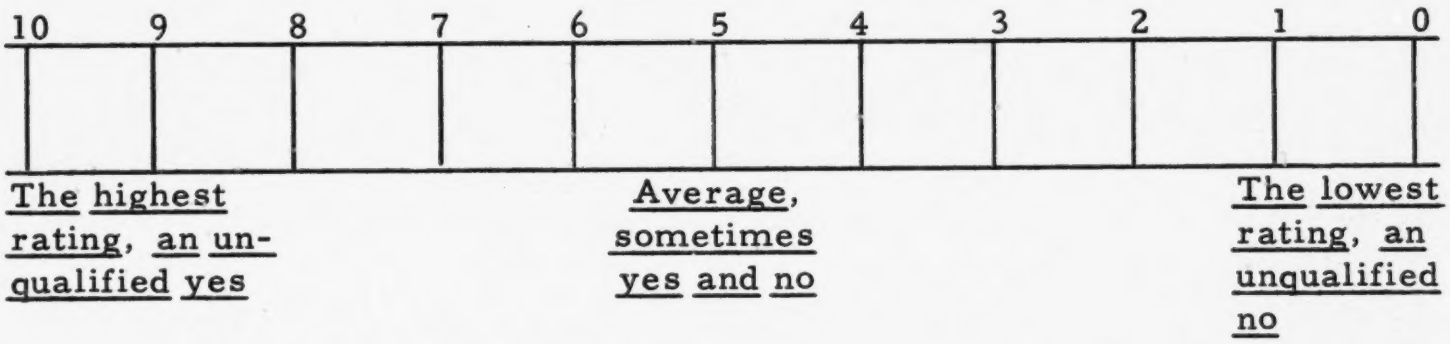
Specific Objectives (3.2)	Programs Related to Objectives (3.3)	Evaluation Procedures (3.12)	Accomplishments (3.3.3)	Weaknesses (3.3.3)	Revised Objectives
O_1	P_1	E_1	A_1		
	P_1	E_1	A_1	W_1	
	P_1	E_1			RO_1

O_2	P_2	E_2	A_2	W_2	
					RO_2

3.6 Implementation
3.7 Terminal considerations
3.8 Management
3.9 Relationships
3.10 Budget
3.11 Facilities, equipment, and materials
3.12 Evaluation

Appraisal of the ongoing program in terms of initial objectives and program operation is possible using this procedure. Some caution should be exercised, however, in terms of expecting a one-for-one relationship. Indeed, it is reasonable, and in many cases desirable, to expect considerable deviation from project objectives to project operation. These variations should not be ignored or glossed over because analyses of these differences can provide useful insights into project directions, allocations of time and personnel, and accomplishments.

Rating scale: Also, a rating scale is suggested for many of the items. This scale would be a ten-point continuum:



The evaluator should use whatever number—from 10 to 0—that best describes how well he believes the project is accomplishing the point being judged.

3.1 Background

___ 3.1.1 To what extent is background material developed for the initial proposal and modified at the end of the first year adequate or inadequate? (The blank space is an invitation to rate the item using the ten-point scale mentioned on the preceding page.)

___ 3.1.2 To what extent is new background needed?

3.1.2.1 What new evidences are needed?

_____

_____

_____

_____

3.2 Objectives

3.2.1 What objectives were developed in the initial proposal?

_____

_____

_____

_____

_____

_____

_____

3.2.2 To what extent are those objectives still appropriate? /check one/

_____very much so
_____much
_____somewhat
_____little
_____very little relationship

3.2.3 Is reasonable progress being made toward stated objectives?

3.2.3.1 What evaluative devices are used to determine this progress?_____

_____

_____

_____

_____

_____

3.2.3.1.1 Are these satisfactory?_____

_____

3.3 Programs

3.3.1 Are programs developing as envisaged at the end of the first year? [check one]

_____very much so
_____much
_____somewhat
_____little
_____very little relationship

3.3.2 Are new programs needed now, as a result of two years of operational experience? ___yes ___no ___perhaps

3.3.2.1 If "yes," what are the needs?_____

_____

_____

_____

_____

_____

3.3.3 How would you rate at the end of two years the various program thrusts? (The rating might include (a) in terms of general and/or specific effectiveness, (b) comparisons with other PACE projects, and (c) the general opinion of the program.)

___ 3.3.3.1 Overall program (_____rating for the first year)

___ 3.3.3.2 Specific program (name)_____

___ 3.3.3.3 Specific program (name)_____

___ 3.3.3.4 Etc.

3.4 Demonstration (only if applicable to your project)

___ 3.4.1 Are the purposes of the demonstration compatible with objectives of the project?

___ 3.4.2 Is it evident that serious thought has been given to demonstration?

___ 3.4.3 Are procedures established for screening prospective visitors into at least three categories: the casual observer, the interested educator (teacher), and the specialist in the program or process being demonstrated?

___ 3.4.4 Are there adequate safeguards against overexposure of children to visitors?

___ 3.4.5 Are teacher and school officials protected against excessive use of time for visitors?

___ 3.4.6 Have ways been developed to use reactions of visitors to improve the program?

3.5 Dissemination

___ 3.5.1 To what extent has an effective system been established for cataloging, interpreting and distributing information developed in the project?

3.5.1.1 What changes are suggested?_____

_____

_____

3.5.2 Appraisal grid: By the end of the second year, a systematic appraisal of dissemination is in order—one that methodically appraises audiences, media, and impact. Place in each square the number—10 to 0—that best represents the degree of success in dissemination. Where the category is not applicable, place an "X."

Audiences

Mediums

	Informal Meetings	In-service Programs	Newspapers	Radio	Regular Meetings	Regular Newsletter	Special Bulletins (Memos)	Special Stories	Television
Board of Education									
Colleges and Universities									
Community									
Local Administrative Staff									
PACE Controlling Board									
Project Staff									
Specializing Groups									
State Department of Education									
Students									
Teachers									

3.5.3 Where are the strong points in dissemination? _____

Why? _____

_____

_____

3.5.4 Where are the weak points? _____

_____

_____

_____

_____

Why? _____

_____

_____

3.5.5 What changes, if any, would seem in order? (compare with first year appraisal.) _____

_____

_____

_____

3.5.6 Using the ten-point scale, judge the content of what is disseminated in terms of:

___	3.5.6.1	Clarity	See Pace Manual for Project Applicants and Grantees, Chapter Six, for explanation of these terms.
___	3.5.6.2	Validity	
___	3.5.6.3	Pervasiveness	
___	3.5.6.4	Impact	
___	3.5.6.5	Timeliness	
___	3.5.6.6	Practicality	

3.5.7 What adjustments at the end of two years are needed for more effective dissemination, in terms of:

3.5.7.1 Time_____

_____

3.5.7.2 Money_____

_____

3.5.7.3 Personnel_____

_____

3.5.7.4 Objectives_____

_____

3.6 Implementation

This criteria applies only if implementation is a thrust of the project. PACE projects featuring development, for example, should be expected to have quite a different approach to implementation from those focusing on moving a project from development to action.

3.6.1 What are the objectives of implementation?_____

_____

_____

_____

_____

_____

3.6.2 What changes are evident at the end of two years as compared with the first year?_____

_____

_____

_____

_____

_____

___ 3.6.3 How do you rate general progress towards revised implementation objectives?_____

_____

_____

___ 3.6.4 What adjustments need to be made to improve implementation? (reminder checklist; not for rating.)

___ 3.6.4.1 No adjustments necessary; on target
___ 3.6.4.2 Move more slowly
___ 3.6.4.3 Move more rapidly
___ 3.6.4.4 Need additional personnel
___ 3.6.4.5 Need additional or different personnel skills
___ 3.6.4.6 Need additional conceptual skills (ideas)
___ 3.6.4.7 Need to consider target audiences more carefully
___ 3.6.4.8 Other

3.7 Terminal considerations

Serious consideration should be given to terminal considerations at the end of the second year. And the word "creative" should typify this effort.

___ 3.7.1 To what extent are there evidences that the project staff is giving serious and creative consideration to what happens when grant support ends?_____

_____

_____

3.7.2 To what extent is planning evident that may facilitate continuation through other funding? (reminder checklist; not for rating.)

___ 3.7.2.1 Philanthropic foundations
___ 3.7.2.2 Local school district
___ 3.7.2.3 State Department
___ 3.7.2.4 Other federal agency
___ 3.7.2.5 Private industry
___ 3.7.2.6 Other

3.8 Management

___ 3.8.1 Have initial and/or revised job descriptions proven adequate?

3.8.1.1 If not, would revision be useful in terms of time required? _____

_____

_____

___ 3.8.2 To what degree are staff members familiar with their individual responsibilities in the overall program? ____

_____

_____

_____

___ 3.8.3 To what extent would terms such as creative, innovative, open-minded, optimistic, intelligent, persevering, and humanly sensitive tend to characterize the project personnel? _____

_____

_____

___ 3.8.4 How effective are procedures for project personnel evaluation?

3.8.4.1 What improvements might be in order? _____

_____

_____

3.8.5 What new personnel needs have arisen during the second year? _____

_____

_____

3.8.5.1 What steps can be taken to meet these needs?

_____

_____

___ 3.8.6 Are procedures for intrastaff communications adequate?

3.8.6.1 If rating is low, what modifications should be made? _____

_____

_____

___ 3.8.7 Are the planning techniques or procedures, such as PERT, checkpoints, etc., being used to assist in the most effective use of time, resources, and personnel?

3.8.7.1 If rating is low, what can be done? _____

_____

_____

___ 3.8.8 Are adequate personnel and resources allocated for management functions?

3.8.8.1 If rating is low, what changes might be helpful? _____

_____

_____

___ 3.8.9 To what extent have staff in-service opportunities been available? (This would include conferences, meetings, workshops, etc.) _____

_____

___ 3.8.10 Assuming an organizational chart exists, to what extent is it adequate? _____

_____

_____

_____

3.9 Relationships

3.9.1 In general, how would you judge relationships between the project staff and the following groups? (Use the ten-point rating scale.)

___ 3.9.1.1 School officials
___ 3.9.1.2 Teachers
___ 3.9.1.3 Students
___ 3.9.1.4 School Board
___ 3.9.1.5 Community at large
___ 3.9.1.6 State Department of Education
___ 3.9.1.7 Adjacent school district
___ 3.9.1.8 Mass media
___ 3.9.1.9 Universities and colleges
___ 3.9.1.10 Other

3.9.2 What evaluative procedures are used to make determinations made in 3.9.1? _____

_____

_____

3.9.3 Which groups listed in 3.9.1 have received most project time and resources? _____

_____

_____

3.9.3.1 Should this allocation be changed? ___yes ___no ___uncertain

3.9.3.1.1 If so, what strategy should be used in making the change? ___

_____

_____

_____

3.9.4 If change is desirable, which groups should receive more attention?

3.9.4.1 Why? _____

_____

_____

___ 3.9.5 How are intrastaff relationships rated? _____

_____

_____

___ 3.9.6 How effective are interstaff relationships—those between the PACE staff and the school system's staff? ___

_____

_____

3.10 Budget

___ 3.10.1 Are clear budget records kept both by the district and the project? _____

_____

___ 3.10.1.1 Is sufficient personnel allocated to this task? _____

_____

___ 3.10.2 Are bookkeeping procedures adequate? _____

_____

___ 3.10.3 Are programs realistically adjusted to budget?

___ 3.10.4 Has a second audit been made or is it scheduled?

___ 3.10.5 Are budget records kept up-to-date?

___ 3.10.6 Is record-keeping achieved without undue friction?

___ 3.10.7 Are revisions in order following the first year?
___yes ___no ___perhaps
3.10.7.1 If revisions are needed, what?_____

_____

_____

_____

_____

_____

3.11 Facilities, equipment, and materials

___ 3.11.1 How adequate are basic facilities in terms of the project's needs?

___ 3.11.2 Are facilities convenient in terms of primary liaisons for the project?

___ 3.11.3 How appropriate are the basic project facilities in terms of style, decor, and furnishings?

___ 3.11.4 How would you rate the quality of the materials selected for programs in terms of how they were used?

___ 3.11.5 Were deliveries made on time?

___ 3.11.6 Were maintenace funds adequate?

___ 3.11.7 Does the project have an efficient method for scheduling project personnel and students for use of available facilities and equipment?

___ 3.11.8 What improvements should be made in facilities, equipment, and materials for the third year?

3.12 Evaluation

___ 3.12.1 Are there evidences that the PACE staff is paying serious attention to evaluation?_____

3.12.2 Are changes in evaluation evident between the first and the second year? ___yes ___no ___perhaps; please describe:_____

___ 3.12.3 Is evaluation an integral part of the project?_____

___ 3.12.4 To what extent are evaluative procedures chosen in terms of the types of programs to be evaluated? (A low score would indicate that those evaluative procedures being used are inappropriate for what is being evaluated.)_____

3.12.5 How appropriate are the data in terms of:

___ 3.12.5.1 Internal validity
___ 3.12.5.2 External validity
___ 3.12.5.3 Reliability
___ 3.12.5.4 Objectivity

For explanations of these terms, see evaluation section (1.4.2.12.)

3.12.6 Is a budget item visible for evaluation, or is it necessary to scrape together several odds-and-ends to "prove" an evaluation sincerity?
_____visible
_____"odds-and-ends" accumulation

3.12.7 Are evaluation procedures employed related to those outlined in the initial proposal and/or in the first year appraisal? ___yes ___no ___somewhat
3.12.7.1 If different, why?_____

_____

_____

___ 3.12.8 Is evaluation effectively related to program improvement?_____

_____

_____

___ 3.12.9 What is the overall evaluation of the effectiveness of the evaluative procedures?_____

_____

_____

_____

4. THIRD YEAR APPRAISAL

The final year should show an increased accentuation toward demonstration, dissemination, implementation, terminal considerations, evaluation and budget.

A human problem of future employment most likely will arise during the final year, and those involved with PACE projects should be frank and creative in dealing with this concern. Most PACE personnel are attracted to the project by its creative, innovative, and ambitious scope. This type of individual—likely to be more intelligent, critical, idealistic, restless, and daring than his more conventionally employed colleagues—is a vital element in public education. We need many more individuals of this nature. Quoting from the first national study of ESEA Title III:

> "Within the field of professional education many dynamic, intelligent, creative, ambitious, and restless individuals can be found. They exist in every school system across the Nation and they can be a vital force in educational improvement. Too many of this group leave education because of low salaries and poor working conditions, to be sure, but probably more leave because of frustration and lack of challenge.
>
> PACE has become the natural home for this group. The special consultants and the director have been impressed with the enthusiasm and intelligence found among the project directors."

In some cases, future employment will be no problem because

the PACE professionals were "loaned" from the local school system, but this situation does not hold in many other instances. In any case, future professional moves should be approached openly, and early, in the third year.

The final appraisal should use several categories that were appropriate for the first and second years, but some additional elements should be included, particularly points that have to do with wrapping up the project.

Before moving into some suggested items, a cautionary note is raised about pyschologically wrapping up the project a few months before the actual terminal date. A strong and proper finish is completely in order. There may be a tendency for staff members, anticipating their future position, to sort of hope that things will finish themselves.

Six-Month's Report

The following procedure is suggested as a method of bringing project development into manageable perspective at the mid-year checkpoint.

On one large sheet, a "gestalt" of the entire program should be developed. (See page 71.) This overview can be quite helpful in providing perspective for the staff as well as others.

Third Year Appraisal

A careful appraisal should be made at the end of the three year life of the project, from two perspectives: (1) a self-appraisal by the

THIRD YEAR: SIX-MONTH REPORT

Specific Objectives (4.1)	Programs Related to Objectives (4.2)	Evaluation Procedures (4.11)	Accomplishments (4.2.3)	Weaknesses (4.2.3)	Revised Objectives
O_1	P_1	E_1	A_1		RO_1
	P_1	E_1	A_1		
	P_1	E_1		W_1	
O_2	P_2	E_2	A_2	W_2	RO_2
	etc.	etc.	etc.	etc.	etc.

O = objectives
P = programs
E = evaluation procedures
A = accomplishments
W = weaknesses
RO = revised objectives

project's staff, and (2) an appraisal by an outside group. The results of these two appraisals then should be considered by the state ESEA Title III coordinator in developing his final report on the project.

The same instrument should be used for both internal and external appraisals. The external appraisal group should make its evaluations independent of what the staff has done.

The following two procedures are suggested for bringing the project into final perspective. It is similar to the procedure recommended for the mid-year evaluation.

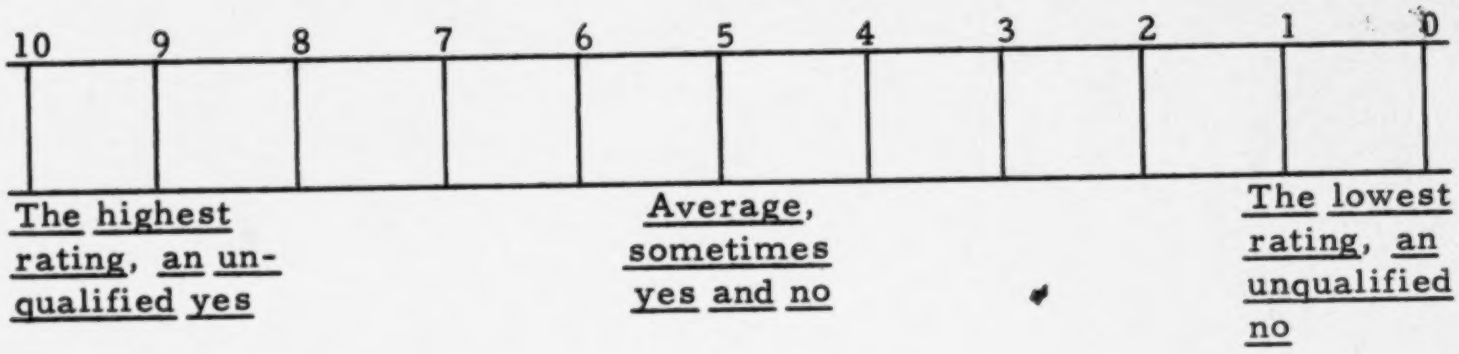
In addition to the schematic presentation just outlined, an appraisal in terms of almost all of the categories that were developed in the initial proposal is récommended. Categories suggested for the terminal report are:

4.1 Objectives
4.2 Programs
4.3 Demonstration
4.4 Dissemination
4.5 Implementation
4.6 Terminal considerations
4.7 Management
4.8 Relationships
4.9 Budget
4.10 Facilities, equipment, and materials
4.11 Evaluation

Rating scale: The same rating scale is suggested for the terminal report as for the other appraisals. This scale is a ten-point continuum:

THIRD YEAR: END OF YEAR REPORT

Specific Objectives (4.1)	Programs Related to Objectives (4.2)	Evaluation Procedures (4.11)	Accomplishments (4.2.3)	Weaknesses (4.2.3)	Dissemination (4.4)
O_1	P_1	E_1	A_1		
	P_1	E_1	A_1	W_1	
	P_1	E_1			D_1
O_2	P_2	E_2	A_2	W_2	
					D_2



4.1 Objectives

4.1.1. What objectives were developed in the initial proposal?

_____

_____

_____

_____

_____

4.1.2 To what extent are the objectives developed in the initial proposal still appropriate? [check one]

_____very much so
_____much
_____somewhat
_____little
_____very little relationship

___ 4.1.3 Is reasonable progress being made toward stated objectives?

4.1.3.1 What evaluative devices are used to determine this progress?_____

_____

_____

_____

_____

_____

4.1.3.1.1 Are these satisfactory?_____

_____

4.2 Programs

4.2.1 Were programs developed as envisaged in the initial proposal? (This question should not be interpreted as favoring a close relationship between programs given in the proposal and those that have developed during the operation.) [check one]

_____very much so
_____much
_____somewhat
_____little
_____very little relationship

___ 4.2.2 Are new programs needed in the future as a result of the project experience? ___yes ___no ___perhaps

4.2.2.1 If "yes," what are the needs?_____

_____

_____

_____

_____

_____

4.2.3 What final rating would you give to the various program thrust? (The rating might include (a) in terms of general and/or specific effectiveness, (b) comparisons with other PACE projects, and (c) the general opinion of the program.)

4.2.3.1 Overall program (after three years of operation)

4.2.3.2 Specific program (name)_____

4.2.3.3 Specific program (name)_____

4.2.3.4 Etc.

4.3 Demonstration (only if applicable to your project)

___ 4.3.1 Were the purposes of the demonstration compatible with objectives of the project?

___ 4.3.2 Is it evident that serious thought was given to demonstration?

___ 4.3.3. Were procedures established for screening prospective visitors into at least three categories: the casual observer, the interested educator (teacher), and the specialist in the program or process being demonstrated?

___ 4.3.4 Were there adequate safeguards against overexposure of children to visitors?

___ 4.3.5 Were teacher and school officials protected against excessive use of time for visitors?

___ 4.3.6 Were ways developed to use reactions of visitors to improve the programs?

4.4 Dissemination

___ 4.4.1 To what extent was an effective system established for cataloging,, interpreting, and distributing information developed in the project?

4.4.2 Appraisal grid: A systematic appraisal of dissemination is in order—one that methodically appraises audiences, media, and impact. Place in each square the number—10 to 0—that best represents the degree of success in dissemination. Where the category is not applicable, place an "X."

Audiences

Board of Education
Colleges and Universities
Community
Local Administrative Staff
PACE Controlling Board
Project Staff
Specializing Groups
State Department of Education
Students
Teachers

Mediums

Informal Meetings	In-service Programs	Newspapers	Radio	Regular Meetings	Regular Newsletter	Special Bulletins (Memos)	Special Stories	Television

4.4.3 Where were the strong points in dissemination? _____

_____

_____

_____

_____

Why? _____

_____

_____

4.4.4 Where were the weak points?_____

_____

_____

_____

_____

Why?_____

_____

_____

4.4.5 Using the ten-point scale, judge the contents of what is dissemination during the final year in terms of:

___ 4.4.5.1 Clarity
___ 4.4.5.2 Validity
___ 4.4.5.3 Pervasiveness
___ 4.4.5.4 Impact
___ 4.4.5.5 Timeliness
___ 4.4.5.6 Practicality

See Pace Manual for Project Applicants and Grantees, Chapter Six, for explanation of these terms.

4.5 Implementation

This criteria applies only if implementation is a thrust of the project. PACE programs featuring development, for example, should be expected to have quite a different approach to implementation from those focusing on moving a project from development to action.

4.5.1 What were the objectives of implementation?_____

_____

_____

_____

_____

___ 4.5.2 How would you rate general progress towards these objectives during the final year?_____

_____

_____

4.5.3 What adjustments were needed to improve implementation? (reminder checklist; not for rating.)

___ 4.5.3.1 No adjustments necessary; on target
___ 4.5.3.2 Move more slowly
___ 4.5.3.3 Move more rapidly
___ 4.5.3.4 Need additional personnel
___ 4.5.3.5 Need additional or different personnel skills
___ 4.5.3.6 Need additional conceptual skills (ideas)
___ 4.5.3.7 Need to consider target audiences more carefully
___ 4.5.3.8 Other

4.6 Terminal considerations

Very serious consideration should be given to terminal considerations during the final year. And the words "creative" and "persistent" should typlify this effort.

___ 4.6.1 To what extent were there evidences that the project staff gave serious and creative consideration to what happens when grant support ends?_____

_____

_____

4.6.2 To what extent was planning evident that might facilitate continuation through other funding? (reminder checklist; not for rating.)

___ 4.6.2.1 Philanthropic foundations
___ 4.6.2.2 Local school district
___ 4.6.2.3 State Department
___ 4.6.2.4 Other federal agency
___ 4.6.2.5 Private industry
___ 4.6.2.6 Other

4.7 Management

___ 4.7.1 To what degree were staff members familiar with their individual responsibilities in the overall program? _____

_____

_____

___ 4.7.2 How effective were procedures for personnel evaluation? _____

_____

_____

_____

4.7.3 What new personnel needs arose during the last year?

_____

_____

_____

4.7.3.1 What steps were taken to meet these needs?

_____

_____

___ 4.7.4 Were procedures for intrastaff communications adequate?

4.7.4.1 If rating is low, what modifications should be made? _____

_____

_____

___ 4.7.5 Were planning techniques or procedures, such as PERT, checkpoints, etc., used to assist in the most effective use of time, resources, and personnel? _____

_____

___ 4.7.6 Were adequate personnel and resources allocated for management functions?_____

_____

___ 4.7.7 To what extent were staff in-service opportunities available? (This would include conferences, meetings, workshops, etc.)_____

_____

_____

___ 4.7.8 Assuming an organizational chart existed, to what extent was it adequate?_____

_____

_____

_____

4.8 Relationships

4.8.1 In general, how would you judge relationships between the project staff and the following groups? (Use the ten-point rating scale.)

___ 4.8.1.1 School officials
___ 4.8.1.2 Teachers
___ 4.8.1.3 Students
___ 4.8.1.4 School Board
___ 4.8.1.5 Community at large
___ 4.8.1.6 State Department of Education
___ 4.8.1.7 Adjacent school district
___ 4.8.1.8 Mass media
___ 4.8.1.9 Universities and colleges
___ 4.8.1.10 Other

4.8.2 What evaluative procedures were used to make determinations made in 4.8.1?_____

_____

_____

4.8.3 Which groups listed in 4.8.1 received most project time and resources? _____

_____

_____

___ 4.8.4 How would you rate <u>intrastaff</u> relationships during the third year? _____

_____

_____

___ 4.8.5 Were <u>interstaff</u> relationships effective—those between the PACE staff and the school system's staff? _____

_____

_____

4.9 <u>Budget</u>

___ 4.9.1 Were clear budget records kept both by district and the project? _____

_____

___ 4.9.2 Were bookkeeping procedures adequate during the third year? _____

_____

_____

___ 4.9.3 Were programs realistically adjusted to budget?

___ 4.9.4 Was an audit made?

___ 4.9.5 Were budget records kept up-to-date?

___ 4.9.6 Was record-keeping achieved without undue friction?

4. 10 Facilities, equipment, and materials

___ 4. 10. 1 How would you rate the quality of the materials selected in terms of how they were used?

___ 4. 10. 2 Were deliveries made on time?

___ 4. 10. 3 Does the project have an efficient method for scheduling project personnel and students for use of available facilities and equipment?

___ 4. 10. 4 What improvements should be made in facilities, equipment, and materials for the third year?

___ 4. 10. 5 What disposition is planned for the available facilities, equipment, and materials?

___ 4. 10. 5. 1 Are all details worked out, including legal aspects of transfer?

4. 11 Evaluation

___ 4. 11. 1 Did the PACE staff pay serious attention to evaluation during the final year?_____

_____

___ 4. 11. 2 Is evaluation an integral part of the project?_____

_____

_____

_____

_____

_____

___ 4. 11. 3 To what extent are evaluative procedures chosen in terms of the types of programs to be evaluated? (A low score would indicate that those evaluative procedures being used are inappropriate for what is being evaluated.)_____

_____

4.11.4 How appropriate are the data in terms of:

___ 4.11.4.1 Internal validity
___ 4.11.4.2 External validity
___ 4.11.4.3 Reliability
___ 4.11.4.4 Objectivity

For explanations of these terms, see evaluation section (1.4.2.12.)

4.11.5 Was a budget item visible for evaluation, or was it necessary to scrape together several odds-and-ends to "prove" an evaluation sincerity?

_____visible
_____"odds-and-ends" accumulation

___ 4.11.6 Was evaluation effectively related to program improvement during the third year?_____

_____

_____

___ 4.11.7 What is the overall evaluation of the effectiveness of the evaluative procedures?_____

_____

_____

5. FINAL APPRAISAL

This section is designed to assist further in the process of evaluating the final product, of considering what lessons have been learned from the three year experience, and of judging what learnings, if any, should be disseminated for the benefit of others.

5.1 Final evaluation

___ 5.1.1 What would be the overall judgment of the project's effectiveness in terms of what it set out to do—the objectives?_____

_____

5.2 Lessons learned

5.2.1 What positive lessons were learned?_____

_____

_____

_____

_____

_____

_____

_____

_____

5.2.2 What negative lessons were learned?

5.3 Dissemination

5.3.1 What project accomplishments would seem sufficientiy significant to be widely disseminated?

5.3.1.1 Research

5.3.1.2 Instructional materials (such as new programs for social studies, new materials for handicapped)_____

5.3.1.3 Skill development (such as reading, mathematics, vocational programs, etc.)_____

5.3.1.4 Process development (such as inquiry training)_____

_____

_____

_____

_____

_____

5.3.1.5 Orgranizational development (such as non-graded school, team teaching)_____

_____

_____

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_____

_____

5.3.1.6 Pupil relations (such as guidance and counseling)_____

_____

_____

_____

_____

_____

_____

_____

5.3.1.7 Community relations_____

5.3.1.8 In-service programs for teachers and/or administrators_____

5.3.1.9 Demonstration_____

5.3.1.10 Dissemination_____

5.3.1.11 Implementation (procedures for putting ideas into action)_____